Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 9		96790P197D2		•
First i	Inventor or Applic	cation Identifier	F. Kobayashi	
Title	Optical Semiconductor Device and Method of Fabricating the Same			
Expre	ess Mail Label No		el651822333us	•

Assistant Commissioner for Patents APPLICATION ELEMENTS ADDRESS TO: Box Patent Application Washington, DC 20231 See MPEP chapter 600 concerning utility patent application contents Fee Transmittal Form (e.g. PTO/SB/17) CD-ROM or CD-R in duplicate, large table or (Submit an original, and a duplicate for fee processing) Computer Program (Appendix) Applicant claims small entity status. 8. Nucleotide and/or Amino Acid Sequence Submission See 37 CFR 1.27. (if applicable, all necessary) 3. Specification 66 Total Pages Computer Readable Form (CFR) (preferred arrangement set forth below) - Descriptive title of the Invention Specification Sequence Listing on: - Cross References to Related Applications CD-ROM or CD-R (2 copies); or - Statement Regarding Fed sponsored R & D Paper - Reference to sequence listing, a table, or a computer program listing appendix Statement verifying identity of above copies - Background of the Invention - Brief Summary of the Invention ACCOMPANYING APPLICATION PARTS Brief Description of the Drawings (if filed) - Detailed Description Assignment Papers (cover sheet & document(s)) - Claim(s) 37 CFR 3.73(b) Statement - Abstract of the Disclosure Power of Attorney (when there is an assignee) 4. Drawing(s) (35 U.S.C.113) 28 Total Sheets English Translation Document (if applicable) 5. Oath or Declaration Information Disclosure Copies of IDS Total Pages 3 Statement (IDS)/PTO - 1449 Citations Newly executed (original or copy) a. Preliminary Amendment Copy from a prior application (37 CFR 1.63(d)) b. Return Receipt Postcard (MPEP 503) (for continuation/divisional with Box 18 completed) (Should be specifically itemized) Certified Copy of Priority Document(s) **DELETION OF INVENTOR(S)** (if foreign priority is claimed) i. Signed statement attached deleting Nonpublication Request under 35 USC 122(b)(2)(B)(i). 16. inventor(s) named in the prior application, Applicant must attach form PTO/SB/35 or its equivalent see 37 CFR 1.63(d)(2) and 1.33(b). 17. Application Data Sheet. See 37 CFR 1.76. 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment: ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) 1 of prior application No: 09 / 027,012 Prior application Information: Examiner J. Jackson, Jr. Group/Art Unit: _ For <u>CONTINUATION or DIVISIONAL APPS only</u>. The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts-CORRESPONDENCE ADDRESS 17. ar Correspondence address below Customer Number of Bar Code Label BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP Name 12400 Wilshire Boulevard, Seventh Floor Address City Los Angeles State California Zip Code 90025 Country (310) 207-3800 U.S.A. Telephone (310) 820-5988 Eric S. Hyman, Reg. No. 30,139 Name (Print/Type)

30/02 Signature Date Burden Hour Statement: This form is estimated to take 0.2 hours of complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



PTO/SB/17 (10-01)
App. Fed for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

FEE TRANSMITTAL for FY 2002
ent fees are subject to annual revision

☐ 'Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

740.00 (\$)

Complete if Known					
Application Number					
Filing Date					
First Named Inventor	F. Kobayashi				
Examiner Name					
Group Art Unit					
Attorney Docket Number	96790P197D2				

Check	METHOD OF PAYMENT (check one)			FEE CALCULATION (continued)										
Deposit Account				3. ADDITIONAL FEE										
Deposit Acocount Number Code (s) Code Cod									.	_				
Number D2-2060	·						Fe	e Description	ree	Paid				
Deposit Account Name Blakely, Sokoloff, Taylor & Zafman 127				02-2666	5						Surcharge - lat	e filing fee or oath		—¬
The Commissioner is authorized to: (check all that apply) 139 130	Deposit		1 0	1 1 66 50	1 07 6						•		\vdash	
Charge fee(s) indicated below Credit any overpayments 147 2,520 For filing a request for ex parter reexamination 12 920 12 92							cover sheet.		ŀ					
Charge any additional fee(s) during the pendency of this application. Charge fee(s) indicated below, except for the filing fee, to the above-identified deposit account FEE CALCULATION 1. FILING FEE Large Entity Small Entity Fee Fee Fee Fee Fee Fee Fee Fer Fee Indicated below. Provisional filing fee 107 740 201 370 Utility filing fee 108 740 208 370 Reissue filing fee 119 114 160 214 80 Provisional filing fee 110 114 160 214 80 Provisional filing fee 1114 160 214 80 Provisional filing fee 112 920 112 920 Extension for response within first month 115 110 216 220 Extension for response within filth month 116 Notice of presponse within filth month 116 Notice of presponse within filth month 116 Notice of Papeal 117 920 217 460 Extension for response within filth month 117 920 217 460 Extension for response within filth month 118 1810 219 181 181 1810 218 1810 219 1810 2019 1810 Notice Papeal 119 20 219 180 Extension for response within filth month 118 1810 219 Extension for response within filth month 118 210 9 Fee Paid 119 20 219 180 Extension for response within filth month 118 1810 215 55 Extension for response within filth month 118 1810 218 1800 218 228 880 Extension for response within filth month 118 20 219 1810 Notice Papeal 119 Notice Papeal 1	The Commi	issione	r is aut	horized to:	(check all th	at apply)	139				-	•		
Charge any additional fee(s) during the pendency of this application. Charge fee(s) indicated below, except for the filling fee, to the above-dendified deposit account	Charge fee(s) indicated below Credit any overpayments			147	2,520	147								
Charge fee(s) indicated below, except for the filing fee, to the above-dendified deposit account 113 1,840 113 1,840 Requesting publication of SiR after Examiner action 115 110 15 5 Extension for response within first month 116 400 216 200 Extension for response within first month 117 920 217 460 Extension for response within first month 118 1,440 218 720 Extension for response within first month 117 920 217 460 Extension for response within first month 118 1,440 218 72				112	920	112	920		·					
The filling FEE Calculation 115 110 215 55 Extension for response within first month 116 400 216 200 Extension for response within first month 116 400 216 200 Extension for response within third month 116 400 216 200 Extension for response within third month 116 400 216 200 Extension for response within third month 116 400 216 200 Extension for response within third month 116 400 216 200 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within third month 128 1,960 228 940 Extension for response within first month 128 1,960 228 940 Extension for response within first month 128 1,960 228 940 Extension for response within first month 128 1,960 228 940 Extension for response within first month 128 1,960 228 940 Extension for response within first month 128 1,960 228 940 Extension for response within first month 128 1,960 228 940 Extension for response within first mon	application		diagted	holow avaan	t for the filir	na foo							\vdash	
1. FILING FEE Large Entity Small Entity Fee Fee Fee Fee Fee Description Fee Paid 118 1,440 218 720 241 240 241 240 241 240 241 240 241 240 241 240 242						ig iee,	113	1,840	113	1,840				
117 920 217 460 Extension for response within third month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fourth month 18 1,440 218 720 Extension for response within fult month 18 1,440 218 720 Extension for response within fult month 18 1,440 218 720 Extension for response within fult month 18 1,440 218 720 Extension for response within fult month 18 1,440 218 720 228 229 140 Peltition to revive - unarrice for Felicon 140 152 15		FEE	CAL	CULATIO	N		115	110	215	55	Extension for a	esponse within first month	<u>_</u>	
Large Entity Small Entity Fee	1 FILING				-	*	116	400	216	200		•	_	
Fee Fee Fee Fee Fee Fee Fee Description Fee Paid 18 1,440 218 720 Extension for response within fourth month 19 19 19 20 21 28 1,960 22 28 890 Extension for response within firth month 19 19 320 21 160 Notice of Appeal 120 320 220 160 Filing a brief in support of an appeal 120 320 220 160 Filing a brief in support of an appeal 120 320 221 140 Request for oral hearing 121 280 221 140 Request for oral hearing 121 128 1,510 138 1,510 Petition to revive - unavoidably 140 110 124 1,280 241 640 Petition to revive - unavoidably 142 1,280 241 640 Petition to revive - unavoidably 144 1,280 241 640 Petition to revive - unavoidably 144 1,280 241 640 Petition to revive - unavoidably 144 1,280 241 640 Petition to revive							117	920	217	460	Extension for r	esponse within third month	-	
101 740 201 370 Utility filing fee	l			Fee Desci	ription	Fee Paid				720	Extension for a	esponse within fourth month	\vdash	
106 330 206 165 Design filling fee	Code (\$)	Code	(\$)		•		128					•	-	
107 510 207 255 Plant filing fee 108 740 208 370 Reissue filing fee 114 160 214 80 Provisional filing fee 140 110 240 55 Petition to institute a public use proceeding 140 110 240 55 Petition to revive - unavoidably 141 1,280 241 640 Petition to revive - unavoidably 142 1,280 242 640 Utility issue fee (or reissue) 142 1,280 242 640 Utility issue fee (or reissue) 144 620 244 310 Plant issue fee 144 620 244 310 Plant issu	101 740	201	370	Utility filing	g fee	\$740				160	Notice of Appe	al	-	
108 740 208 370 Reissue filing fee	106 330	206	165	Design fili	ng fee		1	320			•	• • • • • • • • • • • • • • • • • • • •	L	
114 160 214 80 Provisional filing fee SUBTOTAL (1) (\$) 740.00	107 510	207	255	Plant filing	fee		121	280	221	140	Request for or	al hearing	\vdash	
SUBTOTAL (1) (\$\frac{1}{3}\) 740.00 2. EXTRA CLAIM FEES Fee from Extra Claims below Fee Paid 142 1,280 242 640 Utility issue fee (or reissue) 142 1,280 242 640 Utility issue fee (or reissue) 142 1,280 242 640 Utility issue fee (or reissue) 143 460 243 230 Design issue fee 144 620 244 310 Plant issue fee	108 740	208	370	Reissue fi	ling fee		138	1,510	138				-	
2. EXTRA CLAIM FEES Extra Claims Fee from below Fee Paid 144 620 244 310 Plant issue fee Commissioner 146 122 130 122 130 Petitions to the Commissioner 126 180 126 180	114 160	214	80	Provisiona	l filing fee								-	
2. EXTRA CLAIM FEES Extra Claims below Fee Paid Total Claims Total	SUBTOTAL (1) (\$) 740.00								-					
Extra Claims below Fee Paid 144 620 244 310 Plant issue fee 150 122 130 Petitions to the Commissioner 150 Petitions related to provisional applications 150 123 50 Petitions related to provisional pr	0.5755										•	•	\vdash	
Total Claims 7	2. EXTRA	CLAI		- r		F D.: .					•		\vdash	
Independent Claims 2 -3** = 0 X \$84.00 = 0.00 Multiple Dependent Large Entity Small Entity Fee Fee Fee Fee Fee Fee Fee Fee Pee Fee Description Code (\$) Code (\$) 103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3 104 280 204 140 Multiple Dependent claims over original patent sover original patent SUBTOTAL (2) (\$) "ornumber dipreviously paid, I greater, For Ressues, see above" 122 133 50 122 133 50 Petitions related to provisional applications 126 180 Submission of Information Disclosure Stmt S81 40 Recording each patent assignment per property (times number of properties) 146 740 246 370 Filing a submission after final rejection (37 CFR 1.129(a)) 149 740 249 370 For each additional invention to be examined (37 CFR 1.129(b)) 179 740 279 370 Request for Continued Examination (RCE) 169 900 169 900 Request for expedited examination of a design application Other fee (specify) *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	Total Claims F				00.011								\vdash	-
Multiple Dependent No = 126 180 Submission of Information Disclosure Stmt 581 40 Recording each patent assignment per property (times number of properties) Large Entity Small Entity Fee Fee Fee Fee Fee Fee Description Code (\$) Code (\$) 103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3 104 280 204 140 Multiple Dependent claims over original patent 110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$) 0.00 "crnumberd previously paid, if greater, For Reissues, see above" 126 180 Submission of Information Disclosure Stmt 581 40 Recording each patent assignment per property (times number of properties) 146 740 246 370 Filing a submission after final rejection (37 CFR 1.129(a)) 149 740 249 370 For each additional invention to be examined (37 CFR 1.129(b)) 179 740 279 370 Request for Continued Examination of a design application 169 900 169 900 Request for expedited examination of a design application Other fee (specify) *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	Independent												\vdash	-
Large Entity Small Entity Fee Fee Fee Fee Fee Pee Fee Description Code (\$) Code (\$) 103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3 104 280 204 140 Multiple Dependent claim 109 84 209 42 "Reissue independent claims over original patent 110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$) 0.00 "ornumber of previously pair, if greater, For Reissues, see above 581 40 581 40 Recording each patent assignment per property (times number of properties) 146 740 246 370 Filing a submission after final rejection (37 CFR 1.129(a)) 149 740 249 370 For each additional invention to be examined (37 CFR 1.129(b)) 179 740 279 370 Request for Continued Examination of a design application 169 900 169 900 Request for expedited examination of a design application Other fee (specify) *Reduced by Basic Filing Fee Paid			-3 =	^	$\overline{}$	0.00						•	-	
Large Entity Small Entity Fee Fee Fee Fee Fee Fee Pee Fee Description Code (\$) Code (\$) 103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3 104 280 204 140 Multiple Dependent claim 109 84 209 42 "Reissue independent claims over original patent 110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$) 0.00 "ornumber of previously paid, if greater, For Reissues, see above 146 740 246 370 Filing a submission after final rejection (37 CFR 1.129(a)) 149 740 249 370 For each additional invention to be examined (37 CFR 1.129(b)) 179 740 279 370 Request for Continued Examination (RCE) 169 900 169 900 Request for expedited examination of a design application Other fee (specify) *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	Multiple Depende	ent			<u> </u>								\vdash	
Fee							581	40	201	40	•	. •		
Code (\$) Code (\$) (37 CFR 1.129(a)) 103 18 203 9 Claims in excess of 20 149 740 249 370 For each additional invention to be examined (37 CFR 1.129(b)) 179 740 279 370 Request for Continued Examination (RCE) 109 84 209 42 "Reissue independent claims over original patent 169 900 169 900 Request for expedited examination of a design application 110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$) 0.00 Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) (\$)	,		•		rintion		146	740	246	370			\vdash	
103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3 104 280 204 140 Multiple Dependent claims 109 84 209 42 "Reissue independent claims over original patent 110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$\$) 0.00 "ornumber of previously paid, if greater, For Reissues, see above" 149 740 249 370 For each additional invention to be examined (37 CFR 1.129(b)) 179 740 279 370 Request for Continued Examination (RCE) 169 900 169 900 Request for expedited examination of a design application Other fee (specify) *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$\$)	•			ree Desci	iption		140	, 40	240	370				- 1
102 84 202 42 Independent claims in excess of 3 104 280 204 140 Multiple Dependent claims 109 84 209 42 "Reissue independent claims over original patent 110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$\$) 0.00 "ornumber of previously paid, if greater, For Reissues, see above" SUBTOTAL (3) (\$\$)				Claims in exc	ess of 20		149	740	249	370	•	• • •		
109 84 209 42 "Reissue independent claims over original patent 110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$) 0.00 "ornumber of previously paid, if greater, For Reissues, see above 169 900 169 900 Request for expedited examination of a design application Other fee (specify) *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	102 84	202	42	Independent	claims in exce	ss of 3								
over original patent 110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$ 0.00 "ornumber of previously paid, if greater, For Reissues, see above 169 900 169 900 of a design application Other fee (specify) Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	104 280	204	140	Multiple Depe	endent claim		179	740	279	370	Request for Co	ntinued Examination (RCE)		
110 18 210 9 "Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$ 0.00 "ornumber of previously paid, if greater, For Reissues, see above Other fee (specify) *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	109 84	209	42			ms	169	900	169	900				
**rornumber of previously paid, if greater, For Reissues, see above • Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	110 18			and over origi			Othe	r fee (s	pecify	y)	J - T			
SUBMITTED BY Complete (if applicable)					* Reduce	*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)								
	SUBMITTE	D B	·									Complete (if applie	cable	e)

1	SUBMITTED B	Complete (if applicable)		
	Typed or Printed Name	Eric S. Hyman, Reg. No. 30,139	Reg. Number	
	Signature	En 1/3/07	Deposit Account User ID	02-2666

Attorney Docket No.: 96790P19752

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:						
F. Kobayashi	Art Group:					
Application No.:	Examiner:					
Filed:						
For: Optical Semiconductor Device and Method of Fabricating the Same						
Assistant Commissioner for Patents Washington, D.C. 20231						
TRANSMITTAL OF	FORMAL DRAWINGS					
Sir:						
Enclosed herewith for filing in the above-ident	ified U.S. Patent Application are the formal drawings,					
28 sheets including 34 Figures. Applicant hereby aut	horizes any additional extension or petition fees under 37					
C.F.R. §1.17 or credit for any overpayment to our Deposit Account No. 02-2666. A copy of the Fee						
Transmittal sheet is enclosed.						
	Respectfully submitted, BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN					
Dated:	Eric S. Hyman, Reg. No. 30,139					

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 Telephone: (310) 207-3800

Our Ref. No.: 96790.P197d2 Express Mail No. EL651822333US

UTILITY APPLICATION FOR UNITED STATES PATENT

FOR

OPTICAL SEMICONDUCTOR DEVICE AND METHOD OF FABRICATING THE SAME

Inventor(s): F. Kobayashi